Access Level for Remote Access Electronic Resources

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Outline

- ◆Goals for development of an access level record
- ◆Development of the access level model
- ◆Testing the access level data set and guidelines
- ◆Future plans for preliminary phase (one year)

2

Background

◆ Context: several modes of control will be applied, as appropriate, to different types of Web content, including:
- Web guides
- MODS records
- MARC/AACR cataloging

◆ The concept of an "access level" MARC/AACR catalog record is proposed by an internal LC workgroup operating under the FY03/04 strategic plan. For the full report, see http://www.loc.gov/catdir/stratplan/goal4wg2report.pdf

3

Goals of Access Level

◆ Functionality
- Emphasize data elements that allow catalog users to search for (and find) records based on known user tasks
- De-emphasize some traditional descriptive element that do not support resource discovery

◆ Cost
- Achieve cost efficiencies in cataloging, relative to full or core

◆ Conformity with standards
- Records can be integrated into a MARC/AACR-based catalog and distributed with other cataloging products
- Uses current data and structure standards to the extent possible

4

How do we get there …

◆ LC's Office of Strategic Initiatives funds a contract with consultant Tom Delsey
◆ LC project team established to work with Delsey, with representatives from cataloging and reference areas (summer 2004)
◆ Based on related data modeling efforts (FRBR, Logical Structure of AACR, Functional Analysis of MARC 21)

5

Core Data Set Development

◆ Identified specific user tasks appropriate to non-serial Web resources, using the four generic user tasks (Find, Identify, Select, Obtain) as the primary starting point
◆ Attributes and relationships required to support the tasks then mapped to the corresponding elements in AACR and where those elements are recorded in MARC 21
◆ Values assigned (high/low) to each FRBR attribute or relationship and to each AACR and MARC data element

6

Core Data Analysis : Example

Core Data Set for "Access Level" MARC/AACR Catalog Records

1. FIND a specific resource:

User Task	Associated Attribute/Relationship	Value	Corresponding AACR Data Element	Value	Corresponding MARC Data Element	Value
a) when searching under a title associated with the resource	Title of the *manifestation*	H	Title proper	H	245‡a Title proper 245‡n Number of part/section 245‡p Name of part/section	H
			Parallel title	H	245‡b Remainder of title [parallel title]	L
					246‡a Title [parallel title]	H
			Variant title	H	246‡a Title [variant title] 246‡n Number of part/section 246‡p Name of part/section	H
			Former title	H	247‡a Former title proper 247‡n Number of part/section 247‡p Name of part/section	H
			Key Title	L	222‡a Key title	L
			File name	L	856‡f Electronic name	L
b) when searching (alone or in conjunction with a title search) under the name of a person or corporate body associated with the resource	Statement of responsibility	L	First statement of responsibility	L	245‡c Statement of responsibility [1st]	L
			Subsequent statements of responsibility	L	245‡c Statement of responsibility [2nd, etc.]	L
	Relationship between the *person or corporate body* and a *work* or *expression* contained in the *manifestation*	H	Main entry heading – personal name	H	100‡a Personal name	H
			Main entry heading – corporate name	H	110‡a Corporate name 110‡b Subordinate unit 111‡a Meeting name 111‡e Subordinate unit 111‡q Name of meeting following …	H
			Added entry heading – personal name	H	700‡a Personal name	H
					720‡a Uncontrolled name [personal name]	L
			Added entry heading – corporate name	H	710‡a Corporate name 710‡b Subordinate unit 711‡a Meeting name 711‡e Subordinate unit 711‡q Name of meeting following …	H
					720‡a Uncontrolled name [corporate name]	L

Core Data Set : Other Factors

◆ Limit redundancy whenever possible

- If multiple elements can be used to support the same user task, select the "best"
- For example:

Task: find a specific resource when searching under the name of a person or body associated with the resource

AACR element: statement of responsibility; main/added entries

Choice: record main or added entries (1XX, 7XX) but not statement of responsibility (245$c)

8

4

Cataloging Guidelines

◆ Designed to address problematic aspects frequently encountered and speed the cataloging process, such as:
  - "In case of doubt" decisions (don't agonize)
  - Restricting the sources within the resource that are consulted for certain data elements
  - Sometimes overriding AACR provisions that were time consuming for catalogers

9

"Finished" Product

◆ Project report (August 2004)
◆ Core data set analysis
◆ Mandatory data elements
◆ Draft cataloging guidelines
◆ Comparison of mandatory data elements with Core and MLC

Available at:
  http://www.loc.gov/catdir/access/accessrecord.html

10

Another view: common data elements NOT to be provided

- 041
- 043
- 245 $b, $c
- 246 $i
- 247 $f
- 250 $b
- 260
- 300
- 310
- 362

- 490
- 500 (source of title)
- 500 (source of edn.)
- 500 (item described)
- 500 (justification of AE)
- 504
- 505
- 530
- 76X-78X other than preceding/succeeding
- Many 008 positions

11

Recommendation to test

- Test the application of the record requirements: do the records meet the "functionality" goal?
- Test the application of the draft cataloging guidelines: do they help speed the process?
- Is the approach more cost effective?

12

Access Level Test

◆ PHASE 1: 100 records to be cataloged at full level (control group)
◆ PHASE 2: 100 records to be cataloged at access level
◆ 25 records to overlap both groups to aid in comparing results

Full   Access
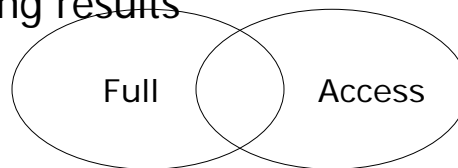
13

Catalogers selected

◆ 5 catalogers
◆ From 3 different cataloging divisions
◆ All fully trained to catalog electronic resources
◆ Each to catalog 20 resources at full level, and 20 resources at access level

14

Data collection

◆ Data collection sheet accompanied each resource to be cataloged. Data recorded by catalogers includes:
- Test phase (full or access)
- Time spent cataloging the resource
- Authority records created or edited
- Authority records **not** created (access only)
- Presence or absence of summary in original recommendation
- Availability of external record for copy cat or resource record (full only)
- Special problems/comments

15

Phase 1 Results

16

Full Level Results- 96 records

Cataloger	Time spent in hours (mean)	Authority work
Cataloger 1	2:16	14
Cataloger 2	2:13	2
Cataloger 3	1:35	5
Cataloger 4	1:16	7
Cataloger 5	1:11	7
Total	**1:42**	**35**

Wide variation in mean time spent between catalogers is result of a complicated set of factors, including amount of authority work required, cataloger experience, comfort level in performing subject analysis on a broad range of topics, etc.

17

Impact of externally available copy– Full level

	Cataloging copy available (N=57)	Original Cataloging (N=39)
Time spent in hours (mean)	1:36	1:51
Authority work	11	24

18

Impact of Summary Presence in TrackER Request

Summary present (N=59)	No summary (N=37)	Difference
1:36	1:53	- :17

Time spent in hours

19

Phase 2– Access Level

◆ Second orientation session for catalogers (Jan. 2005)
- Feedback on phase 1
- Introduction to access level core data set
- Introduction to cataloging guidelines
- Introduction to treatment of authorities
  - Formulate name/title headings according to AACR2, but only update/create name authority records if references and research need to be recorded
- Access level template distributed
  - Sets standardized data elements, including encoding level (Ldr/17) in use for test (3- Abbreviated level)
- Full level "overlap" records deleted from LC catalog

20

Phase 2 Results– 100 Records

Cataloger	Time spent in hours (mean)	Authority work	Authorities not made
Cataloger 1	:55	13	0
Cataloger 2	1:12	0	0
Cataloger 3	:41	0	7
Cataloger 4	:31	1	1
Cataloger 5	:35	1	2
Total	**:46**	**15**	**10**

21

Full vs. Access– Time spent

Cataloger	Time spent in hours (mean)		
	Full	**Access**	**Difference**
Cataloger 1	2:16	:55	- 1:21
Cataloger 2	2:13	1:12	- 1:01
Cataloger 3	1:35	:41	- :54
Cataloger 4	1:16	:31	- :45
Cataloger 5	1:11	:35	- :36
Totals	**1:42**	**:46**	**- :56**

22

11

Full vs. Access– Name Headings

Name headings (100, 110, 111, 700, 710)				
Full level		Access level		Difference
Number	Mean per record	Number	Mean per record	
141	1.47	108	1.08	- .39 per record

Full vs. Access- Name headings

◆ All of the "difference" between full and access level is related to fewer Added Entry—Corporate Name headings (MARC 710 field)
  - 111 in "full level" and 78 in "access level"
◆ Difference most likely attributable to "Guideline 18" for access level
  - Corporate body must be named prominently
  - Likely that a user would search for the resource under the body
  - Avoid current practice of "keep looking" for a body to name in the record until one is found, no matter how deep one has to look

Full vs. Access– Title access

Titles (240, 245, 246, 730, 740)				
Full level		Access level		Difference
Number	Mean per record	Number	Mean per record	
232	2.42	166	1.66	- .76 per record

Full vs. Access– Title access

◆ All of the "difference" between full and access level is related to the Variant title field (MARC 246 field)
  - 129 in "full level" and 65 in "access level"
◆ Difference most likely attributable to "Guideline 19" for access level
  - the cataloging guidelines specifically targeted the reduction of 'frivolous' variants, e.g., those that don't contain significant differences from the title proper or from other variants, and prefaced variants that are traditionally recorded, e.g., "Welcome to [real title]"

Full vs. Access-- Subjects

Subject access (LCSH: 600, 610, 650, 651; 653 subject keyword terms)				
Full level		Access level		Difference
Number	Mean per record	Number	Mean per record	
343	3.57	334	3.34	- .23 per record

27

Full vs. Access-- Subjects

◆The very small difference was a satisfying result, as catalogers were instructed in the guidelines to assign LC subject headings to "access level" records in accordance with practices for "full level" (e.g., including the same level of specificity in subject heading selection)

28

Sample records from Phase 2 of test (access level)

- LCCN 2005567054
  - Medieval illuminated manuscripts
- LCCN 2005567056
  - Moving image collections
- LCCN 2005567060
  - The Drexel Digital Museum project historic costume collection

(available via http://catalog.loc.gov)

29

Anecdotal Feedback from Catalogers

- General impressions
  - breath of fresh air
  - enjoyed creating the records
  - able to capture the most important parts of a site
  - provided summaries were a big benefit
  - required a "mindset" shift that was beneficial
  - would like to do only access level
  - access level would be ideal for training subject catalogers to do Web sites

30

Feedback from Catalogers (con't)

◈ What do you attribute the savings to?
  ▪ Not having to search for or supply the place, publisher, and date of publication
  ▪ Elimination of redundancies (e.g., statement of responsibility, justifying added entries)
  ▪ Restricting the selection of descriptive elements to prominent sources
  ▪ "In case of doubt" rules in guidelines provided the freedom to make a decision and move on
◈ Do you feel the record limitations prevented you from supplying important information?
  ▪ Subtitles, in certain instances, would have been helpful to 'prop up' a brief or misleading title
  ▪ Not doing authority records (it is the "easy" ones that were skipped)

31

Reference review

◈ Several of the reference librarians recruited to recommend sites for the test were also asked to evaluate the resulting records with an eye toward identifying any significant adverse impact on the end user's ability to find, identify, select, or obtain

◈ To aid in the comparison, they were provided:
  ◆ descriptive statistics comparing the full and access level records
  ◆ OPAC printouts (brief and full record views) of the 25 records done at both full and access to allow a record-by-record review

32

Reference review- Anecdotal comments

◈ "In general, I feel access level is adequate as long as primary subject headings and summaries are present in the OPAC … I don't think access level cataloging would adversely affect OPAC searches …"

◈ "For most catalog searches the differences between the full level and access level records would not significantly affect the search results."

◈ "I think the access level records will serve very well for providing users with access to these resources."

33

Reference review- Anecdotal comments

◈ Several reviewers noted that some of the differences between the "full level" and "access level" sets for the same resource were due to factors other than the guidelines, most notably the lack of consistency between catalogers:

▪ "In fact, greater differences between the two records are caused by cataloger idiosyncracies than from the records not having the same fields (i.e., greater differences between the fields common for the two records than from the lack of certain full level fields in the access record)"

▪ "… it is impossible not to be concerned about the often total lack of agreement: in several instances, subject headings assigned in full and brief records are entirely different."

34

Reference review- suggested improvements

Reviewers also provided valuable feedback on how the access level records could be improved. Representative comments include:

- "There should always be a summary, but long quotations from reviews should be avoided. LC should give a course in writing concise, pithy annotations for those catalogers or recommending officers not versed in the technique."
- "Perhaps this information [obvious places of publication, publisher, or beginning date of publication] can be incorporated into the "summary" (annotation) if it is not indicated in … [separate] fields."
- "I think it is useful for patrons to have some idea of when the record was prepared. But rather than in a cataloger's note, I think the issue could be addressed by having recommenders add a date to their summary statement (e.g., as viewed on Feb. 11, 2005.)"
- "The lack of information about the date the page was viewed is a significant omission on the access level record. This information gives the reader a sense of how old the record is and what a broken link might mean…"

35

Future plans

◆ Given the substantial cost savings derived from access level cataloging identified in the test, and the fact that there is no appreciable loss of access for searchers, the BA divisions suggest the following framework for a "preliminary phase" to be carried out in the next year

36

Future Plans

◆ Continue to apply access level cataloging for non-serial remote access electronic resources (with guideline modifications based on cataloger and reference feedback)

◆ Expand the group of trained catalogers from the five testers to include all catalogers trained to work on this category of material

◆ Solicit feedback on the access level core data set, cataloging guidelines, and future plans from internal and external constituencies

◆ Collaborate with the PCC (see Objective 2.1.2 in the PCC Tactical Objectives)

37

Future plans (continued)

◆ Distribute the access level records via normal record distribution products

◆ Given the considerable savings derived from doing original cataloging at access level, as opposed to adapting copied records at full level, perform only original for the preliminary phase; re-assess this decision after one year

◆ Work with other institutions testing the guidelines to decide on the optimal record identification indicia (e.g., encoding level, possible use of authentication code)

◆ Consider whether the "access level" model might also apply to other types of resources (BA Strategic Plan for 2005-2006, Goal IV, Objective 7)

38

Questions, comments

◆ Please send any comments or inquiries to David Reser (dres@loc.gov)